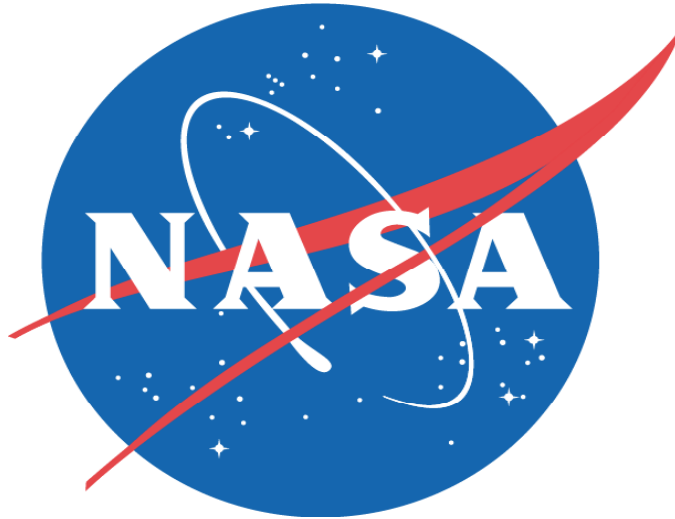


Responsible Office: FM/Management Systems Division
Subject: Agency Research & Program Management (R&PM) (Personnel Related & Travel Only) Budget Execution



Management Systems Division

Office Work Instruction

Agency Research and Program Management (R&PM) Budget Execution

Original Approved by: _____

Vicki A. Novak
Associate Administrator
Office of Human Resources and Education

Responsible Office: FM/Management Systems Division

Subject: Agency Research & Program Management (R&PM) (Personnel Related & Travel Only) Budget Execution

DOCUMENT HISTORY LOG

| Status (Baseline/ Revision/ Canceled) | Document Revision | Effective Date | Description |
|--|------------------------------|---------------------------|--------------------|
| Baseline | | December 10, 1999 | |
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Responsible Office: FM/Management Systems Division

Subject: Agency Research & Program Management (R&PM) (Personnel Related & Travel Only) Budget Execution

1. Purpose

This OWI describes the process Code FM uses in executing Agency Research and Program Management (R&PM) (Personnel Related and Travel only) budget.

2. Scope and Applicability

This work instruction describes procedures for Code FM, Management Systems Division to use during the Agency budget execution process. This process occurs during the current fiscal year and involves establishing and updating the annual operating plan, establishing funds control, and monitoring monthly performance. Throughout this process there is significant interaction with the Office of the Comptroller (Code B) and the Institutional Program Offices (IPO's). The Management Systems Division's Agency R&PM budget execution process is consistent with and parallel with the overall Agency's budget execution process.

This work instruction applies to the NASA Management Systems Division of Code F which has primary responsibility for conduct of the Agency R&PM budget execution process.

3. Definitions

R&PM: Research and Program Management.

IPOs: Institutional Program Office.

DD: Division Director

AA: Associate Administrator

PA: Program Analyst

CR: Continuing Resolution

Obs/Cost Phasing Plan: Obligation/Cost Phasing plan

4. Reference Documents

4.1 NHB 1101.3, The NASA Organization, ([nodis.hq.nasa.gov/Library/Directives/NASA-Wide/Procedures/Organization and Administration/NHB contents.htm](http://nodis.hq.nasa.gov/Library/Directives/NASA-Wide/Procedures/Organization%20and%20Administration/NHB%20contents.htm))

4.2 OMB Circular A-11, Organization, (nodis.hq.nasa.gov/Library/processes.htm)

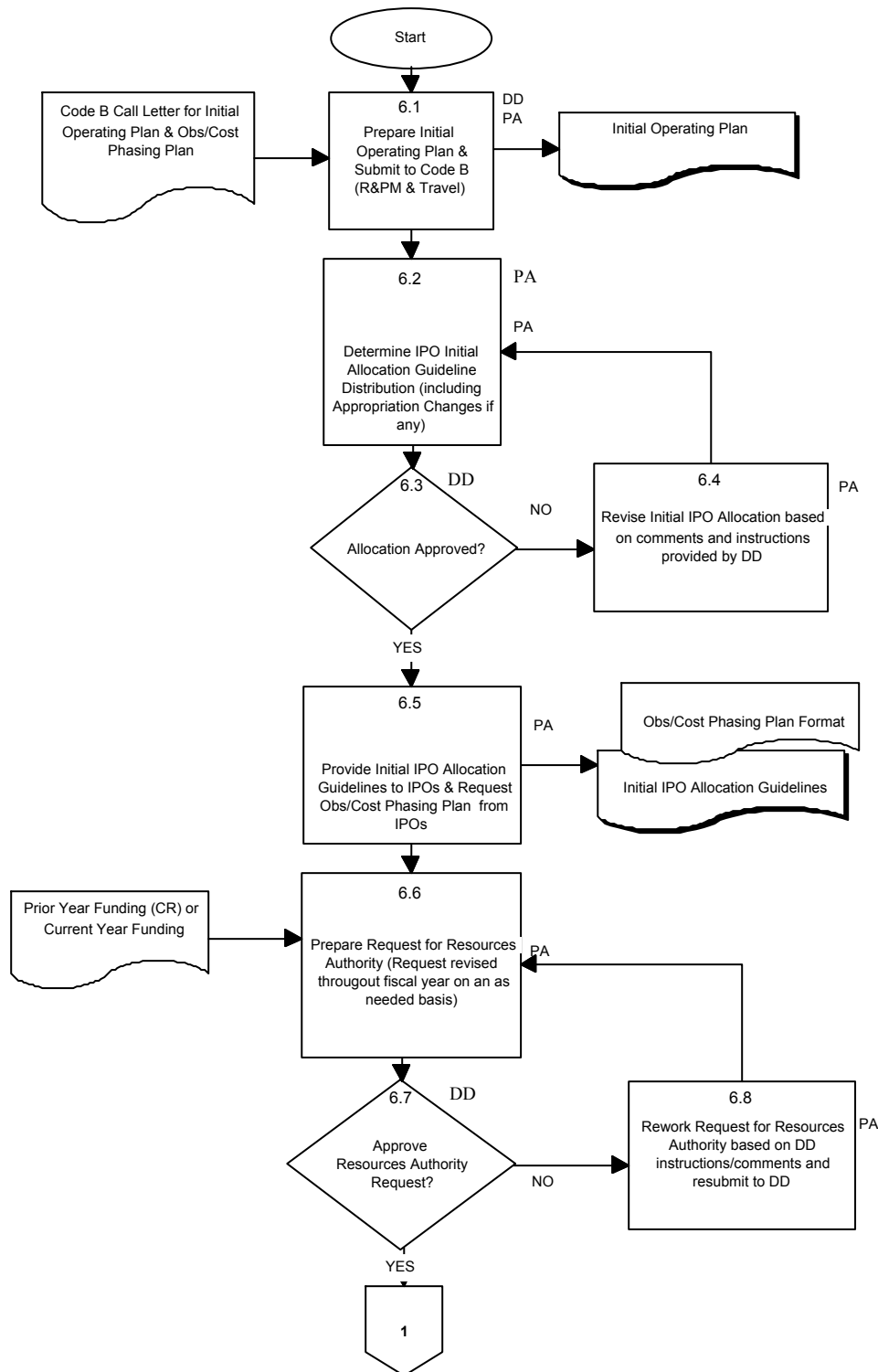
4.3 NASA Financial Management Manuals, (www.hq.nasa.gov/finm/finmintro.htm)

4.4 NPD 7000.3, Allocation and Control of Agency Resources
([nodis.hq.nasa.gov/Library/Directives/Program_Formulation/ N_PD_7000_3D.htm](http://nodis.hq.nasa.gov/Library/Directives/Program_Formulation/N_PD_7000_3D.htm))

4.5 NPD 9050.3, Administrative Control of Appropriations and Funds,
nodis.hq.nasa.gov/Library/Directives/Financial_Managmeent/N_PD_9050_3D.htm

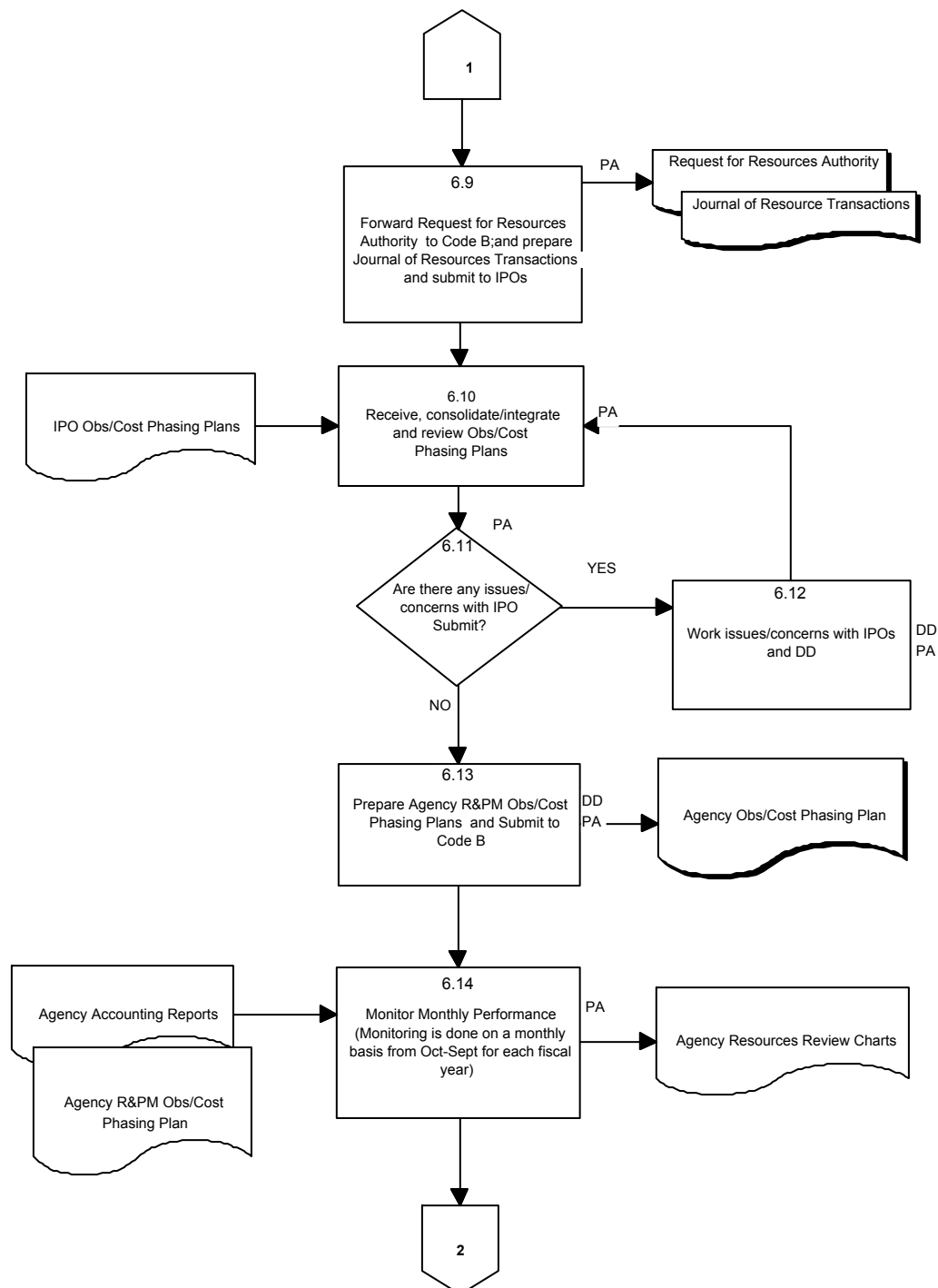
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5. Flowchart



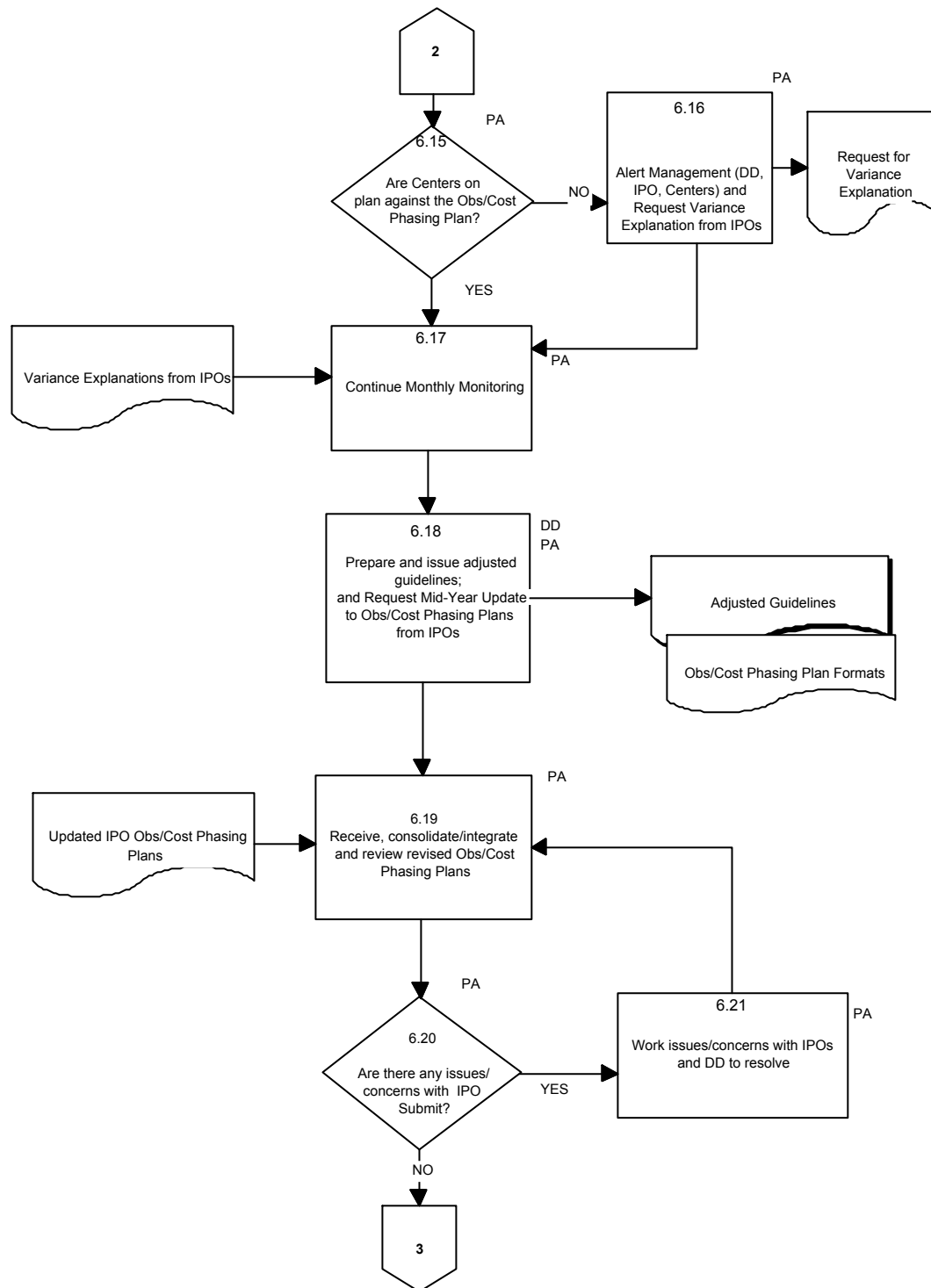
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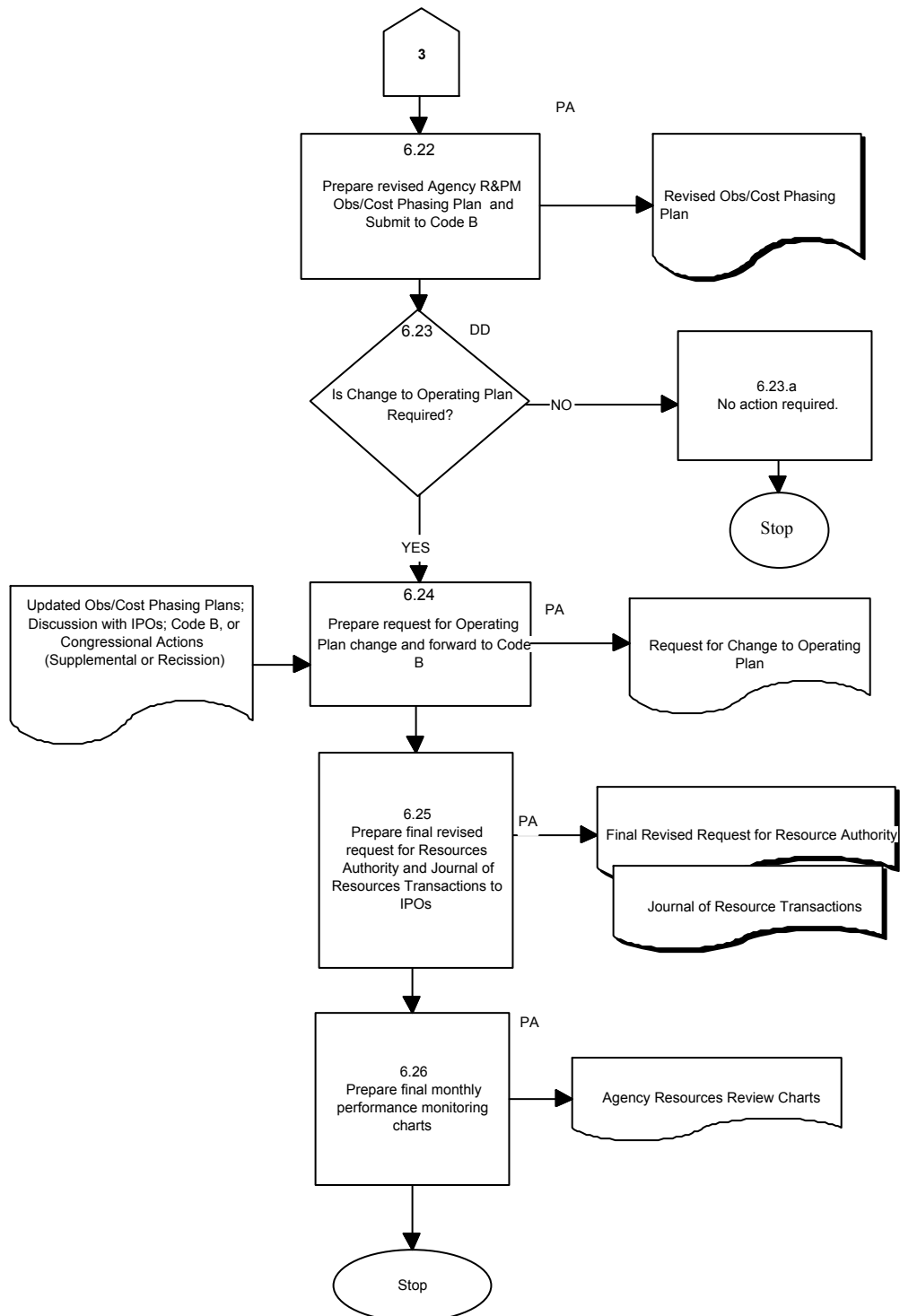
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6. Procedure

The following table describes the process depicted in the flowchart in Section 5. The number at the left of the table corresponds to the numbers in the activity boxes in the flowchart.

| # | Actionee | Activity Description |
|------|----------|---|
| 6.1 | DD, PA | The PA, with DD authority, will prepare the R&PM (personnel and related costs and travel only) Initial Operating Plan as requested by the Office of the Comptroller (Code B). The PA will forward the Operating Plan to Code B. |
| 6.2 | PA | The PA will determine the Initial Allocation Guideline Distribution for each IPO based on appropriation changes (if any). |
| 6.3 | DD | Does the DD approve the allocation? If no go to step 6.4. If yes, go to step 6.5. |
| 6.4 | PA | Revise Initial IPO allocation based on comments and instructions provided by the DD. The PA will resubmit to DD for approval. |
| 6.5 | PA | Provide the Initial IPO Allocation Guidelines to IPOs and request the Obligations (Obs)/Cost Phasing Plans using Obs/Cost phasing plan format. |
| 6.6 | PA | Prepare a Request for Resources Authority. The distributed amounts in this request will be used by Code B to prepare a resources authority warrants to be distributed to the IPOs, and must be consistent with funding levels in the approved current Operating Plan. |
| 6.7 | DD | Does the DD approve the Request for Resources Authority. If no go to step 6.8. If yes go to step 6.9. |
| 6.8 | PA | Rework the Request for Resources Authority based on DD instructions/comments and resubmit to DD. |
| 6.9 | PA | Forward the approved Request for Resources Authority to Code B; and prepare the Journal of Resources Transactions and forward to the IPOs. The Journal of Resources Transactions details the funding provided which has been earmarked for specific activities. |
| 6.10 | PA | Receive, consolidate/integrate and review the Obs/Cost Phasing Plans from the IPOs. |

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|------|--------|--|
| 6.11 | PA | Are there any issues/concerns with the IPO submits? If yes go to step 6.12. If no, go to step 6. |
| 6.12 | PA/DD | Work issues/concerns with the IPOs and DD. The PA will make any necessary adjustments to the Obs/Cost Phasing Plan and will review again to ensure that all issues/concerns have been addressed. |
| 6.13 | PA/DD | Prepare with DD authority, an Agency R&PM Obs/Cost Phasing Plan based on IPO submits and submit to Code B. |
| 6.14 | PA | PA will monitor monthly performance by preparing various resource review charts using financial data from financial accounting reports of actual obligations and costs incurred by each IPO, and comparing this data to the Obs/Cost Phasing Plan as submitted by the IPOs. Monitoring is done on a monthly basis from October through September for each fiscal year. The financial reports are generated and distributed on a monthly basis. |
| 6.15 | PA | Are IPOs (Centers) on plan against the Obs/Costs Phasing Plan? If no go to step 6.16. If yes go to 6.17. |
| 6.16 | PA | Alert management (DD, IPO (Center) of the variance and request a variance explanation for those Centers that are off targeted plan. |
| 6.17 | PA | Continue monthly monitoring. This activity will continue through the life cycle of the fiscal year and the Obs/Cost Phasing Plan (12-month cycle). |
| 6.18 | PA, DD | Prepare and issue adjusted guidelines and Obs/Cost phasing plan format and request a mid-year update to the Obs/Cost Phasing Plans from the IPOs. |
| 6.19 | PA | Receive, consolidate/integrate and review the revised Obs/Cost Phasing plans submitted by the IPOs. |
| 6.20 | PA | Are there any issues/concerns with the Obs/Cost Phasing Plan IPO submits? If yes go to step 6.21. If no go to step 6.22. |
| 6.21 | PA | Work issues/concerns with IPOs and DD. The PA will make any necessary adjustments to the updated Obs/Cost Phasing Plan and will review again to ensure that all |

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-
- issues/concerns have been addressed.
- | | | |
|-------|----|--|
| 6.22 | PA | Prepare a revised Agency R&PM Obs/Cost Phasing Plan and submit to Code B. This activity is usually done mid way through the fiscal year. |
| 6.23 | DD | Is a change to the Initial Operating Plan required? If no go to step 6.23a. If yes go to step 6.24. |
| 6.23a | | No action required. (No change to the Initial Operating Plan). |
| 6.24 | PA | Prepare request for Operating Plan change and forward to Code B. A change to the Operating Plan can be deemed necessary after reviewing the updated Obs/Cost Phasing Plans from the IPOs; discussions with the IPOs; discussions with Code B, or if Congressional Actions have been enacted that would require funding realignments. |
| 6.25 | PA | Prepare final revised Request for Resources Authority to be sent to Code B and prepare the Journal of Resources Transactions to be sent to the IPOs. |
| 6.26 | PA | Prepare final monthly performance monitoring charts. These charts are usually internal to Code FM. |

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7. Quality Records

| <i>Record Identification</i> | <i>Owner</i> | <i>Location</i> | <i>Media Electronic/ Hard Copy</i> | <i>Schedule and Item Nos.*</i> | <i>Retention/ Disposition</i> |
|---|--------------|-----------------|--|------------------------------------|-------------------------------|
| Initial Operating Plan | PA | Code FM | Hard Copy | Schedule 7, Item 22 | Destroy after 5 years |
| Initial IPO Allocation Guidelines | PA | Code FM | Hard Copy | Schedule 7, Item 22 | Destroy after 5 years |
| Request for Resources Authority | PA | Code FM | Hard Copy | Schedule 7, Item 22 | Destroy after 5 years |
| Journal of Resource Transactions | PA | Code FM | Hard Copy | Schedule 7, Item 22 | Destroy after 5 years |
| Agency Obs/Cost Phasing Plans | PA | Code FM | Hard Copy | Schedule 7, Item 22 | Destroy after 5 years |
| Adjusted Guidelines | PA | Code FM | Hard Copy | Schedule 7, Item 22 | Destroy after 5 years |
| Revised Obs/Cost Phasing Plans | PA | Code FM | Hard Copy | Schedule 7, Item 22 | Destroy after 5 years |
| Final Revised Request for Resource Authority | PA | Code FM | Hard Copy | Schedule 7, Item 22 | Destroy after 5 years |
| Journal of Resource Transactions | PA | Code FM | Hard Copy | Schedule 7, Item 22 | Destroy after 5 years |

* Quality Records are retained in accordance with the referenced schedule and item number from NPG 1441.1, *NASA Records Retention Schedules*